

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.
UC97-156-7

Re Application Of: **OLAV SOLGAARD ET AL.**

Serial No.
09/813,446

Filing Date
MARCH 20, 2001

Examiner
LEE, JOHN D.

Group Art Unit
2874

Title: **MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH**

Address to:

**Assistant Commissioner for Patents
Washington, D.C. 20231**

37 CFR 1.97(b)

1. ☐ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

37 CFR 1.97(c)

2. ☒ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

☒ the statement specified in 37 CFR 1.97(e);

OR

☐ the fee set forth in 37 CFR 1.17(p).

RECEIVED
FEB 25 2003
TC 2800 MAIL ROOM

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT

(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.

UC97-156-7

In Re Application: **OLAV SOLGAARD ET AL.**

FEB 19 2003

Serial No.

09/813,440

Filing Date

MARCH 20, 2001

Examiner

LEE, JOHN D.

Group Art Unit

2874

MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of _____ is attached.
- ☐ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. _____ as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of _____
- ☐ Credit any overpayment.
- ☐ Charge any additional fee required.

Certificate of Transmission by Facsimile*

I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (F

(Date)

Signature

Typed or Printed Name of Person Signing Certificate

Certificate of Mailing by First Class Mail

I certify that this document and fee is being deposited with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Signature of Person Mailing Correspondence

Typed or Printed Name of Person Mailing Certificate

*This certificate may only be used if paying by deposit account.

Signature

JOHN P. O'BANION, REG. NO. 33, 201

O'BANION & RITCHEY LLP

400 CAPITOL MALL, SUITE 1550

SACRAMENTO, CA 95814

(916) 498-1010

Dated: 2/19/03

RECEIVED
FEB 25 2003
TC 2800 MAIL ROOM

CC:

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)

Applicant(s): OLAV SOLGAARD ET AL.

Docket No.

UC97-156-7

Serial No.

09/813,443

Filing Date

MARCH 7, 2001

Examiner

LEE, JOHN D.

Group Art Unit

2874

Invention: MULTIPLE WAVELENGTH CROSS-CONNECT OPTICAL SWITCH

I hereby certify that the following correspondence:

Transmittal Letter (Page 1)

(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

02/19/03

(Date)

Jerry V. King

(Typed or Printed Name of Person Mailing Correspondence)


(Signature of Person Mailing Correspondence)EV193318131US

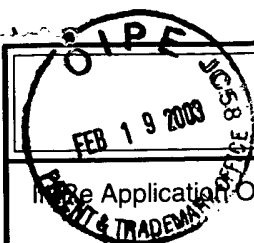
("Express Mail" Mailing Label Number)

Note: Each paper must have its own certificate of mailing.

RECEIVED
FEB 25 2003
TC 2300 MAIL ROOM

02-24-03

2874



TRANSMITTAL LETTER
(General - Patent Pending)

Docket No.
UC97-156-7

Patent Application Of: OLAV SOLGAARD ET AL.

Serial No.
09/813,446

Filing Date
MARCH 7, 2001

Examiner
LEE, JOHN D.

Group Art Unit
2874

Title: MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Transmitted herewith is:

1. Transmittal of Information Disclosure Statement (Page 1 & 2);
2. Information Disclosure Citation (PTO-1449) (Page 1 & 2);
3. Statement Under 37 CFR 1.97(e) Accompanying Information Disclosure Statement (Page 1) and;
4. Citations (10).

in the above identified application.

- ☒ No additional fee is required.
- ☐ A check in the amount of _____ is attached.
- ☐ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. _____ as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of _____
- ☐ Credit any overpayment.
- ☐ Charge any additional fee required.

RECEIVED
FEB 25 2003
TC 2800 MAIL ROOM

Dated: 2/19/03

Signature

JOHN P. O'BANION, REG. NO. 33,201
O'BANION & RITCHEY LLP
400 CAPITOL MALL, SUITE 1550
SACRAMENTO, CA 95814
(916) 498-1010

I certify that this document and fee is being deposited on _____ with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Signature of Person Mailing Correspondence

Typed or Printed Name of Person Mailing Correspondence

CC:

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)Applicant(s): **OLAV SOLGAARD ET AL.**

Docket No.

UC97-156-7

Serial No.

09/813,446

FEB 19 2003

Filing Date

MARCH 7, 2001

Examiner

LEE, JOHN D.

Group Art Unit

2874

Invention: **MULTI-LENGTH CROSS-CONNECT OPTICAL SWITCH**

I hereby certify that the following correspondence:

Information Disclosure Citation (PTO-1449) (Page 1 & 2)*(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

02/19/03
(Date)

Jerry V. King*(Typed or Printed Name of Person Mailing Correspondence)*

(Signature of Person Mailing Correspondence)

EV193318131US*("Express Mail" Mailing Label Number)*

Note: Each paper must have its own certificate of mailing.

RECEIVED
FEB 25 2003
TC 2800 MAIL ROOM

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)

Applicant(s): OLAV SOLGARD ET AL.

Docket No.

UC97-156-7

Serial No.

09/813,446

Filing Date

MARCH 7, 2001

Examiner

LEE, JOHN D.

Group Art Unit

2874

Invention: MULTIWAVELENGTH CROSS-CONNECT OPTICAL SWITCH

I hereby certify that the following correspondence:

Citations (10)

(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

02/19/03
(Date)

Jerry V. King

(Typed or Printed Name of Person Mailing Correspondence)


(Signature of Person Mailing Correspondence)EV193318131US

("Express Mail" Mailing Label Number)

Note: Each paper must have its own certificate of mailing.

RECEIVED
FEB 25 2003
TC 2800 MAIL ROOM

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)

Applicant(s): OLAV SOLGAARD ET AL.

Docket No.

UC97-156-7

Serial No.

09/813,446

FEB

9 2003

Filing Date

MARCH 7, 2001

Examiner

LEE, JOHN D.

Group Art Unit

2874

Invention: MULTI-ANGLE LENGTH CROSS-CONNECT OPTICAL SWITCH

I hereby certify that the following correspondence:

Information Disclosure Citation (PTO-1449) (Page 1 & 2)

(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

02/19/03
(Date)

Jerry V. King

(Typed or Printed Name of Person Mailing Correspondence)


(Signature of Person Mailing Correspondence)EV193318131US

("Express Mail" Mailing Label Number)

Note: Each paper must have its own certificate of mailing.

RECEIVED
FEB 25 2003
TC 2800 MAIL ROOM

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)Applicant(s): **OLAV SOLGAARD ET AL.**

Docket No.

UC97-156-7

Serial No.

09/813,446

Filing Date

MARCH 7, 2001

Examiner

LEE, JOHN D.

Group Art Unit

2874Invention: **MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH**

I hereby certify that the following correspondence:

Statement under 37 CFR 1.97(e) Accompanying Information Disclosure Statement (Page 1)*(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

02/19/03
(Date)

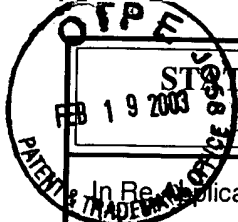
Jerry V. King*(Typed or Printed Name of Person Mailing Correspondence)*


(Signature of Person Mailing Correspondence)

EV193318131US*("Express Mail" Mailing Label Number)*

Note: Each paper must have its own certificate of mailing.

RECEIVED
FEB 25 2003
TC 2800 MAIL ROOM



**STATEMENT UNDER 37 CFR 1.97(e) ACCOMPANYING
INFORMATION DISCLOSURE STATEMENT**

Docket No.
UC97-156-7

In Re: Application Of: **OLAV SOLGAARD ET AL.**

Serial No.
09/813,446

Filing Date
MARCH 20, 2001

Examiner
LEE, JOHN D.

Group Art Unit
2874

Invention: **MULTI-WAVELENGTH CROSS-CONNECT OPTICAL SWITCH**

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

This is a statement under the provisions of 37 CFR 1.97(e) in the above-identified application.

Check applicable statement herebelow:

Statement Under 37 CFR 1.97(e)(1)

- ☐ Each item of information contained in the accompanying Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Information Disclosure Statement.

Statement Under 37 CFR 1.97(e)(2)

- ☒ No item of information contained in the accompanying Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned person, after making reasonable inquiry, no item of information contained in the accompanying Information Disclosure Statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.


Signature

**JOHN P. O'BANION, REG. NO. 33,201
O'BANION & RITCHEY LLP
400 CAPITOL MALL, SUITE 1550
SACRAMENTO, CA 95814
(916) 498-1010**

Dated: *2/19/03*

Certificate of Mailing by First Class Mail

I certify that this document is being deposited on _____ with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Signature of Person Mailing Correspondence

Typed or Printed Name of Person Mailing Correspondence

cc: